

MAIL TO:

STATE OF UTAH
 DIVISION OF PURCHASING
 3150 STATE OFFICE BUILDING, CAPITOL HILL
 P.O. BOX 141061
 SALT LAKE CITY, UTAH 84114-1061
 TELEPHONE (801) 538-3026
www.purchasing.utah.gov

Request for ProposalSolicitation Number: **JG6902**Due Date: **12/21/05 @ 3:00 PM**

Date Sent: November 21, 2005

State Cooperative ContractGoods and services to be purchased: **DOCUMENT MANAGEMENT SOFTWARE, IMPLEMENTATION, AND CONSULTING.****Please complete**

Company Name		Federal Tax Identification Number	
Ordering Address	City	State	Zip Code
Remittance Address (if different from ordering address)	City	State	Zip Code
Type <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Proprietorship <input type="checkbox"/> Government	Company Contact Person		
Telephone Number (include area code)	Fax Number (include area code)	Email Address	
Discount Terms (for bid purposes, bid discounts less than 30 days will not be considered)		Days Required for Delivery After Receipt of Order (see attached for any required minimums)	
Brand/Trade Name		Price Guarantee Period (see attached specifications for any required minimums)	
Minimum Order		Company's Internet Web Address	
<p>The following documents are included in this solicitation: Solicitation forms, instructions and general provisions, and specifications. <u>Please review all documents carefully before completing.</u></p> <p>The undersigned certifies that the goods or services offered are produced, mined, grown, manufactured, or performed in Utah. Yes _____ No _____. If no, enter where produced, etc. _____</p>			
Offeror's Authorized Representative's Signature		Print or type name and title	Date
State of Utah Division of Purchasing Approval		Date	Contract Number
Douglas G. Richins, Director			

**STATE OF UTAH
DIVISION OF PURCHASING**

Request for Proposal

Solicitation Number: JG6902

Due Date: 12/21/05 @
3:00PM

Vendor Name:

THE STATE OF UTAH DIVISION OF PURCHASING SOLICITS PROPOSALS FOR DOCUMENT MANAGEMENT SOFTWARE AND IMPLEMENTATION / CONSULTING SERVICES FOR A INTEGRATION OF THE SELECTED SOFTWARE AT THE DEPARTMENT OF ENVIRONMENTAL QUALITY.

VENDORS ARE ENCOURAGED TO READ THE ENTIRE DOCUMENT TO UNDERSTAND THE SCOPE OF THE REQUEST. ALL QUESTIONS MUST BE SUBMITTED VIA INSTRUCTIONS GIVEN WITHIN THE DOCUMENT. QUESTIONS ARE DUE BY 5:00 PM MST ON DECEMBER 5, 2005. QUESTIONS ON PURCHASING PROCESS(NOT RELATED TO SPECIFICATIONS) CALL JARED GARDNER AT (801) 538-3342.

PLEASE NOTE A VOLUNTARY PRE-PROPOSAL CONFERENCE WILL BE HELD DECEMBER 9, 2005 AT 2:00 PM MST AT THE DEPARTMENT OF ENVIRONMENTAL QUALITY LOCATED AT 168 NORTH 1950 WEST, ROOM 101, SALT LAKE CITY, UTAH.

CHANGES OR MODIFICATIONS TO PROCUREMENT:

ANY CHANGES OR MODIFICATIONS TO THIS SOLICITATION WILL ONLY BE ACCOMPLISHED IN WRITTEN ADDENDUM SENT FROM THE DIVISION OF PURCHASING. ANY OTHER FORM IS NOT BINDING. BIDDERS SUBMITTING A BID ON ANY INFORMATION OTHER THAN WHICH IS CONTAINED IN THIS SOLICITATION DOCUMENT, OR ANY ADDENDUM THERETO, DO SO AT THEIR OWN RISK.

COMMODITY CODES: 20938, 20940, 20991, 20853, 20890, AND 92045

REQUEST FOR PROPOSAL - INSTRUCTIONS AND GENERAL PROVISIONS

1. PROPOSAL PREPARATION: (a) All prices and notations must be in ink or typewritten. (b) Price each item separately. Unit price shall be shown and a total price shall be entered for each item bid. (c) Unit price will govern, if there is an error in the extension. (d) Delivery time of services and products as proposed is critical and must be adhered to. (e) All products are to be of new, unused condition, unless otherwise requested in this solicitation. (f) Incomplete proposals may be rejected. (g) This proposal may not be withdrawn for a period of 60 days from the due date. (h) Where applicable, all proposals must include complete manufacturer's descriptive literature. (i) By signing the proposal the offeror certifies that all of the information provided is accurate, that they are willing and able to furnish the item(s) specified, and that prices offered are correct.

2. SUBMITTING THE PROPOSAL: (a) The proposal must be signed in ink, sealed, and delivered to the DIVISION OF PURCHASING (DIVISION), 3150 State Office Building, Capitol Hill, Salt Lake City, UT 84114-1061. **The "Solicitation Number" and "Due Date" must appear on the outside of the envelope.** (b) Proposals, modifications, or corrections received after the closing time on the "Due Date" will be considered late and handled in accordance with the Utah Procurement Rules, section 3-209. (c) **Your proposal will be considered only if it is submitted on the forms provided by the state. Facsimile transmission of proposals to DIVISION will not be considered.** (d) All prices quoted must be both F.O.B. Origin per paragraph 1.(c) and F.O.B. Destination. Additional charges including but not limited to delivery, drayage, express, parcel post, packing, cartage, insurance, license fees, permits, costs of bonds, or for any other purpose must be included in the proposal for consideration and approval by the Division of Purchasing & General Services (DIVISION). Upon award of the contract, the shipping terms will be F.O.B. Destination with all transportation and handling charges paid by the Contractor, unless otherwise specified by the DIVISION. No charge for delivery, drayage, express, parcel post, packing, cartage, insurance, license fees, permits, costs of bonds, or for any other purpose will be paid by the state unless specifically included in the proposal and accepted by DIVISION. (e) By signing the proposal the offeror certifies that all of the information provided is accurate and that he/she offers to furnish materials/services for purchase in strict accordance with the requirements of this proposal including all terms and conditions.

3. SOLICITATION AMENDMENTS: All changes to this solicitation will be made through written addendum only. Bidders are cautioned not to consider verbal modifications.

4. PROPRIETARY INFORMATION: Suppliers are required to mark any specific information contained in their bid which is not to be disclosed to the public or used for purposes other than the evaluation of the bid. Each request for non-disclosure must be accompanied by a specific justification explaining why the information is to be protected. Pricing and service elements of any proposal will not be considered proprietary. All material becomes the property of the state and may be returned only at the state's option. Proposals submitted may be reviewed and evaluated by any persons at the discretion of the state.

5. BEST AND FINAL OFFERS: Discussions may be conducted with offerors who submit proposals determined to be reasonably susceptible of being selected for award for the purpose of assuring full understanding of, and responsiveness to, solicitation requirements. Prior to award, these offerors may be asked to submit best and final offers. In conducting discussions, there shall be no disclosure of any information derived from proposals submitted by a competing offeror.

6. SAMPLES: Samples, brochures, etc., when required, must be furnished free of expense to the state and if not destroyed by tests may, upon request made at the time the sample is furnished, be returned at the offeror's expense.

7. DIVISION APPROVAL: Contracts written with the State of Utah, as a result of this proposal, will not be legally binding without the written approval of the Director of the DIVISION.

8. AWARD OF CONTRACT: (a) The contract will be awarded with reasonable promptness, by written notice, to the responsible offeror whose proposal is determined to be the most advantageous to the state, taking into consideration price and evaluation factors set forth in the RFP. No other factors or criteria will be used in the evaluation. The contract file shall contain the basis on which the award is made. Refer to Utah Code Annotated 65-56-408. (b) The DIVISION can reject any and all proposals. And it can waive any informality, or technicality in any proposal received, if the DIVISION believes it would serve the best interests of the state. (c) Before, or after, the award of a contract the DIVISION has the right to inspect the offeror's premises and all business records to determine the offeror's ability to meet contract requirements. (d) The DIVISION will open proposals publicly, identifying only the names of the offerors. Proposals and modifications shall be time stamped upon receipt and held in a secure place until the due date. After the due date, a **register** of proposals shall be established. The **register** shall be open to public inspection, but the proposals will be seen only by authorized DIVISION staff and those selected by DIVISION to evaluate the proposals. The register and contract awards are posted under "Vendor Info" at www.purchasing.utah.gov. The proposal(s) of the successful offeror(s) shall be open for public inspection for 90 days after the award of the contract(s). (e) Utah has a reciprocal preference law which will be applied against bidders bidding products or services produced in states which discriminate against Utah products. For details see Section 63-56-404 and 63-56-405, Utah Code Annotated. (f) Multiple contracts may be awarded if the State determines it would be in its best interest.

9. ANTI-DISCRIMINATION ACT: The offeror agrees to abide by the provisions of the Utah Anti-discrimination Act, Title 34 Chapter 35, U.C.A. 1953, as amended, and Title VI and Title VII of the Civil Rights Act of 1964 (42 USC 2000e), which prohibit discrimination against any employee or applicant for employment, or any applicant or recipient of services, on the basis of race, religion, color, or national origin; and further agrees to abide by Executive Order No. 11246, as amended, which prohibits discrimination on the basis of sex; 45 CFR 90 which prohibits discrimination on the basis of age, and Section 504 of the Rehabilitation Act of 1973 or the Americans with Disabilities Act of 1990, which prohibits discrimination on the basis of disabilities. Also offeror agrees to abide by Utah's Executive Order, dated March 17, 1993, which prohibits sexual harassment in the workplace. Vendor must include this provision in every subcontract or purchase order relating to purchases by the State of Utah to insure that the subcontractors and vendors are bound by this provision.

10. WARRANTY: The contractor agrees to warrant and assume responsibility for all products (including hardware, firmware, and/or software products) that it licenses, contracts, or sells to the State of Utah under this contract for a period of one year, unless otherwise specified and mutually agreed upon elsewhere in this contract. The contractor (seller) acknowledges that all warranties granted to the buyer by the Uniform Commercial Code of the State of Utah applies to this contract. Product liability disclaimers and/or warranty disclaimers from the seller are not applicable to this contract unless otherwise specified and mutually agreed upon elsewhere in this contract. In general, the contractor warrants that: (1) the product will do what the salesperson said it would do, (2) the product will live up to all specific claims that the manufacturer makes in their advertisements, (3) the product will be suitable for the ordinary purposes for which such product is used, (4) the product will be suitable for any special purposes that the State has relied on the contractor's skill or judgement to consider when it advised the State about the product, (5) the product has been properly designed and manufactured, and (6) the product is free of significant defects or unusual problems about which the State has not been warned. Remedies available to the State include the following: The contractor will repair or replace (at no charge to the State) the product whose nonconformance is discovered and made known to the contractor in writing. If the repaired and/or replaced product proves to be inadequate, or fails of its essential purpose, the contractor will refund the full amount of any payments that have been made. Nothing in this warranty will be construed to limit any rights or remedies the State of Utah may otherwise have under this contract.

11. DEBARMENT: The CONTRACTOR certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If the CONTRACTOR cannot certify this statement, attach a written explanation for review by the STATE.

12. ENERGY CONSERVATION AND RECYCLED PRODUCTS: The contractor is encouraged to bid Energy Star certified products or products that meet FEMP (Federal Energy Management Program) standards for energy consumption. The State of Utah also encourages contractors to bid products that are produced with recycled materials, where appropriate, unless otherwise requested in this solicitation.

13. GOVERNING LAWS AND REGULATIONS: All State purchases are subject to the Utah Procurement Code, Title 63, Chapter 56 Utah Code Annotated 1953, as amended, and the Procurement Rules as adopted by the Utah State Procurement Policy Board (Utah Administrative Code Section R33). These are available on the Internet at www.purchasing.utah.gov.

(Revision 5 Oct 2005 - RFP Instructions)

REQUEST FOR PROPOSAL



**DOCUMENT MANAGEMENT – SOFTWARE, IMPLEMENTATION, AND
CONSULTING**

**State of Utah
and
Utah Department of Environmental Quality**

November 21, 2005

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REQUEST FOR PROPOSAL

UTAH DEPARTMENT OF ENVIRONMENTAL QUALITY DOCUMENT MANAGEMENT IMPLEMENTATION AND CONSULTING

Solicitation # JG6902

1.0 ADMINISTRATIVE INFORMATION

1.1 Purpose of Request for Proposal (RFP)

The purpose of this request for proposal from the Utah Department of Environmental Quality (UDEQ) and the State of Utah Division of Purchasing is to enter into contracts with qualified firms to provide:

- Software solutions for Electronic Content Management System (ECMS) - including any other software needed for the full implementation of the ECMS system such as scanning software.
- Consulting services for the training, implementation and integration

This RFP will be separated and evaluated into two separate and distinct areas:

- State Cooperative Contract(s) for ECMS software (repository and scanning software)
- An agency contract with UDEQ for consulting/implementation

Vendors who make offers to this RFP may respond to the software contract section, to the consulting contract section, or both sections. Making an offer for only one section will not affect the final decisions for either section of contracts.

It is anticipated that the State of Utah will select multiple software products from the responses to this request. These selected products will be placed on state contracts for available purchase by state agencies and other political subdivisions of the State. Vendors must have authorization to sell all software products offered. Proposals submitting only partial solutions will not be accepted. For example if a vendor offered software for a repository which requires a scanning software not included in the repository it is required of vendor to offer both products. The only software packages evaluated and selected will be Commercial Off The Shelf (COTS) products. Preference may be given to software packages that are already utilized within the executive branch of Utah state government.

It is important to note that proposals for consulting services will only be evaluated if the product they have proposed to integrate is chosen in the software evaluation.

Separately, it is also anticipated that the Utah Department of Environmental Quality will select a respondent who can offer consulting services to implement the software package(s) that is specifically selected by UDEQ for their implementation.

This RFP is designed to provide interested offerors with sufficient basic information to submit proposals meeting minimum requirements, but is not intended to limit a proposal's content or exclude any relevant or essential data. Offerors are at liberty and are encouraged to expand upon the specifications that are described and defined within this document.

1.2 Issuing Office and RFP Reference Number

The State of Utah Division of Purchasing is the issuing office for this document and all subsequent addenda relating to it, on behalf of the State of Utah and the Utah Department of Environmental Quality (UDEQ). The reference number for the transaction is Solicitation # JG6902. This number must be referred to on all proposals, correspondence, and documentation relating to the RFP.

1.3 Submitting Your Proposal

One original and six identical copies of your proposal must be received at the State of Utah Division of Purchasing, 3150 State Office Building, Capitol Hill, Salt Lake City, Utah 84114, prior to the closing date and time specified. Proposals received after the deadline will be late and ineligible for consideration.

1.4 Length of Contracts

Software Contracts:

The Contracts resulting from this RFP will be for a period up to three (3) years. The contracts may be extended at the discretion of the State of Utah and by mutual agreement with the selected vendors. Extensions will be year-to-year for up to an additional 3 years.

Consulting Services Contracts:

The Contract resulting from this RFP will be for a period up to one (1) year. The contract may be extended at the discretion of the Utah Department of Environmental Quality and by mutual agreement with the selected vendor. Extensions will be year-to-year for up to an additional 4 years.

1.5 Price Guarantee Period

All pricing must be guaranteed for length of the contract. Following the guarantee period, any request for price adjustment must be for an equal guarantee period, and must be made at least 30 days prior to the effective date. Requests for price adjustment must include sufficient documentation supporting the request. Any adjustment or amendment to the contract will not be effective unless approved by the State Director of Purchasing. The State will be given the immediate benefit of any decrease in the market, or allowable discount.

1.6 Standard Contract Terms and Conditions

Any contract resulting from this RFP will include the State's standard terms and conditions. These may be accessed at:

State Cooperative Contract Terms

<http://purchasing.utah.gov/contractinfo/TermsStatewide.pdf>

Agency Contract Terms

<http://www.purchasing.utah.gov/contractinfo/TermsAgency.pdf>

1.7 Questions

Questions must be submitted in writing to Ryan Walker – UDEQ IT Director, via email at: rwalker@utah.gov or via fax at: (801) 536-0061. Questions are due by 5:00 p.m. on December 5, 2005. Questions received after that date may not be answered. Answers will be given via an addendum posted on the Division of Purchasing website. All submitted questions will be addressed at the Pre Bid meeting (see section 1.8).

1.8 Pre Bid Meeting

All vendors who desire to respond to this RFP may attend the voluntary pre-bid meeting. This meeting will be held on December 9, 2005, 2 PM at 168 N. 1950 W. SLC, Utah - Room 101. Questions will be answered where possible at this meeting. All questions and answers will be made available via an addendum posted on the Division of Purchasing website. Follow up questions to submitted questions (see section 1.7) may be asked at this meeting.

1.9 Discussions with Offerors (Presentations)

After initial evaluation of proposals and identification of those deemed to be reasonably acceptable, UDEQ may request presentations by an offeror to clarify their proposals, a site inspection of facilities, or additional documentation to demonstrate the information contained therein. The presentations may be requested for both responders to the software and the consulting contract awards.

The determination of necessity for any of these items will be at the sole discretion of UDEQ and the State of Utah. However, UDEQ may award contracts based on the initial proposals received without discussion with the offeror. If presentations are required, they will be scheduled after the submission of proposals. UDEQ reserves the right to select the site and the presentations will be made at the offeror's expense.

1.10 Protected Information

The Government Records Access and Management Act (GRAMA), Utah Code Ann., Subsection 63-2-304, provides in part that:

the following records are protected if properly classified by a government entity:

(1) trade secrets as defined in Section 13-24-2 if the person submitting the trade secret has provided the governmental entity with the information specified in Section 63-2-308 (Business Confidentiality Claims);

(2) commercial information or non-individual financial information obtained from a person if:

(a) disclosure of the information could reasonably be expected to result in unfair competitive injury to the person submitting the information or would impair the ability of the governmental entity to obtain necessary information in the future;

(b) the person submitting the information has a greater interest in prohibiting access than the public in obtaining access; and

(c) the person submitting the information has provided the governmental entity with the information specified in Section 63-2-308;

** * * * **

(6) records the disclosure of which would impair governmental procurement proceedings or give an unfair advantage to any person proposing to enter into a contract or agreement with a governmental entity, except that this Subsection (6) does not restrict the right of a person to see bids submitted to or by a governmental entity after bidding has closed;

Consistent with Subsection 63-2-304(6) the Division of Purchasing has classified proposals submitted in response to this RFP as protected (Retention and Classification Report for Records Series 16591) except that a successful proposal is available for public inspection for 90 days.

An offeror may also protect portions of a proposal by submitting a Claim of Business Confidentiality to protect trade secrets, commercial information or non-individual financial information as provided in Subsections 63-2-304(1) and (2).

To protect information under a Claim of Business Confidentiality, the offeror must:

1. provide a written Claim of Business Confidentiality *at the time the information (proposal) is provided to the state*, and
2. include a concise statement of reasons supporting the claim of business confidentiality (Subsection 63-2-308(1)).

A Claim of Business Confidentiality is appropriate for information such as client lists and non-public financial statements. Pricing and service elements may not be protected. An entire proposal may not be protected under a Claim of Business Confidentiality. The claim of business confidentiality must be submitted with your proposal on the form which may be accessed at:

<http://www.purchasing.utah.gov/contractinfo/ConfidentialityClaimForm.doc>

To ensure the information is protected, the Division of Purchasing asks the offeror to clearly identify in the Executive Summary and in the body of the proposal any specific information for which an offeror claims business confidentiality protection as "PROTECTED".

All materials submitted become the property of the state of Utah. Materials may be evaluated by anyone designated by the state as part of the proposal evaluation committee. Materials submitted may be returned only at the State's option.

2.0 BACKGROUND

2.1 Utah UDEQ Background

The Department of Environmental Quality (UDEQ) is the primary State agency responsible for implementing and enforcing State and Federal environmental regulations to protect and enhance the environment of the state for the benefit of all those who live and work in the state. Currently the Department has approximately 425 employees with 6 Divisions and the Executive Director's Office:

Table 2.0 – Divisions and Offices

• Division of Air Quality	DAQ
• Division of Water Quality	DWQ
• Division of Environmental Response And Remediation	DERR
• Division of Solid and Hazardous Waste	DSHW
• Division of Drinking Water	DDW
• Division of Radiation Control	DRC
• Executive Directors Office	EDO
○ Office of Planning and Public Affairs	OPPA
○ Office of Information Technology	IT
○ Office of Human Resources	HRM
○ Office of Support Services	OSS
○ District Engineers	DE's

Each Division and Office has a Director and is subdivided into individual branches and sections (see Table 2.1).

UDEQ is housed in several State office buildings. All UDEQ divisions are connected on a wide area network. The lack of a single building for all UDEQ employees may not allow for physical access to all resources concurrently.

DWQ and DSHW are housed in the Cannon Health Building (CHB) at 288 North 1460 West. DDW and DAQ are housed in the Airport East #1 (APE1) building at 150 North 1950 West. DERR, DRC, and EDO are housed in the Airport East #2 (APE2) building at 168 North 1950 West in Salt Lake City. The District Engineers are located in St. George, Cedar City, Richfield, Price, and Roosevelt.

Table 2.1 – UDEQ Organization

Divisions	Approximate Number of Employees	Location
Air Quality	85	150 N. 1950 W.
Drinking Water	15	2861 West Parkway Blvd
Environmental Response & Remediation	40	150 N.1950 W.
Radiation Control	75	168 N. 1950 W.
Solid & Hazardous Waste	25	168 N. 1950 W.
Water Quality	70	288 N. Garside
	65	288 N. Garside
Offices		
Executive Directors Office	5	168 N. 1950 W.
Human Resource Management	5	168 N. 1950 W.
Planning and Public Affairs	10	168 N. 1950 W.
Office of Support Service	15	168 N. 1950 W.
Information Technology	15	168 N. 1950 W.
District Engineers	5	Throughout Utah

Table 2.2 – UDEQ Organization Chart

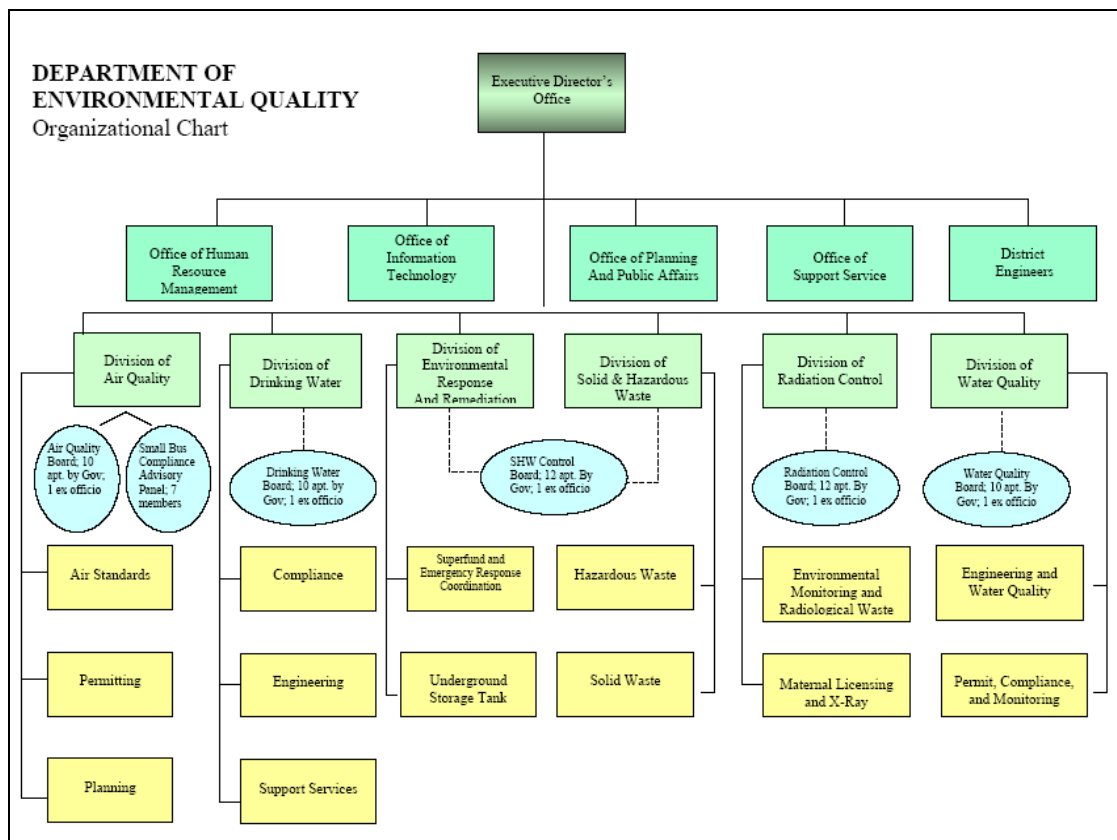


Table 2.3 - UDEQ Software Standards

Standard	Current Version
DESKTOP/LAPTOP/TABLET OPERATING SYSTEMS	
Microsoft Windows	2000/XP
STANDARD APPLICATIONS (Made available through the Novell Application Launcher)	
Microsoft Office Suite	2003
Corel WordPerfect (On an as needed basis)	12
Novell GroupWise	6.5
Internet Explorer	6 sp 1
Adobe Acrobat	6 & 7
ETrust Anti-Virus	7.1
AS REQUIRED APPLICATIONS	
Microsoft Access	97/2000
Microsoft Project	2003
Microsoft Visio	2003
Microsoft Publisher	2003
IN-HOUSE APPLICATIONS	
DP-1	N/A
Travel	N/A
Timesheets	N/A
Mailing Lists	N/A
Other Applications	N/A
ENTERPRISE LEVEL SOFTWARE	
Oracle	10g
Sybase	12.5
APPLICATION DEVELOPMENT TOOLS	
Sybase Development Suite	
JSP	
PHP	
Middleware Services	
EAServer	

WEB ADMINISTRATION/WEB CONTENT MGT TOOLS	
Dreamweaver/Fireworks	Studio MX 2004
Adobe Suite	Adobe Photoshop CS
GIS/MAPPING SOFTWARE	
ESRI Product Line	

Table 2.4 - Hardware Standards

Desktop Computer:	Notebook, Laptop, Tablet PC's:
HP/Compaq Brand Desktop	HP/Compaq, Toshiba, Acer or Equivalent Brand
Current WSCA Standard Processor	Current WSCA Standard Processor
512 Megs RAM	512 Megs RAM
CDRW/DVD Drive	CDRW/DVD drive
Front and Rear USB Ports	Current Industry Standard HD
3 ½ Floppy	USB ports
Current Industry standard HD	32 bit CardBus Slot
10/100BaseT NIC	56Kb Modem
	10/100BaseT NIC
Handheld PC's (PDA's)	
HP/Compaq or Equivalent Brand	
Current WSCA Standard Processor	
Current MS Windows Mobile OS	
64 Meg. SDRAM	

Table 2.5 - Scanner Hardware

Desktop Scanners	Production Scanners
Cannon 2080c	Cannon 9080c
Midsized Scanners	
Cannon 3080c	
Large Format Scanners (Map/Drawing Size)	Accelerators
Not yet selected	650i (VRS Cards)

2.2 UDEQ Training Room Information

UDEQ has a user training room in the APE2 building (168 N. 1950 W.) that is available for end-user, expert and administrative training. It is currently equipped

with 12 student computers and one instructor computer. It has projection capability and can be equipped for printing if needed.

2.3 UDEQ Scanning Operations

Documents will enter the ECMS repository through the scanning of hard copy documents, electronically from UDEQ standard applications (see Table 2.2), or other means.

For UDEQ's use, the proposed ECMS solution, including both hardware and software, must be capable of supporting the scanning of the volume of documents/pages indicated below.

Estimated backfile needs for the department is around 8,300,000. Day forward will be ¾ to 1 million pages. Some examples of documents include permits for various divisions/sections, permit submittals including engineering plans and documents, correspondence, contracts, notices of violation, settlement agreements, maps, personnel and payroll records, accounts payable and receivable.

An analysis of UDEQ files, records and procedures completed in February and March of 2005 provides the following information on the current state and statistics of document management at UDEQ. Electronic copies of this report are available upon request.

Table 2.6

	DDW	DAQ	DRC	DERR	DWQ	Dept. Total
Day Forward	76365	204,792	45,000	238,000	93,000	657,157
Backfile	481,000	2,100,000	1,350,000	3,722,500	704,000	8,294,500
Archive	876,000	1,800,000	141,000	1,626,000	150,000	4,593,00

All numbers are pages of documents and are assumed to be the minimum possible. Actual volume is likely to be 10-30% higher depending on the amount of double-sided documents.

2.4 Records Retention, Purging and Archiving for UDEQ

The records retention schedules for UDEQ is available upon request. Some files must be kept permanently; however, some document types may be destroyed (purged) when the activity is archived.

Generally, paper files may not be archived until a triggering event occurs which varies from activity type to activity type.

UDEQ has a Retention Schedule for each division. Each document in the Retention Schedule has a series number. UDEQ wants the documents in the system to be connected to a series number that will determine the Retention Schedule for that document. The system should give the option of archiving the documents according to the Retention Schedule after the system notifies the

administrator. The ECMS software must also be capable of archiving documents (moving documents to off-line storage) in response to a trigger generated by an external system.

3.0 TECHNICAL REQUIREMENTS

3.1 Definition

The Utah Department of Environmental Quality and the State of Utah defines an Electronic Content Management System (ECMS) as “an integrated software product suite that can electronically capture, process, index, store, view, revise, reproduce, distribute, and dispose of information in the form of a “document” in both a client/server and web environment. This product must maintain appropriate contextual information (metadata) and links between records to support their value as evidence if the document is to be considered a record.”

UDEQ requires a system that can perform the activities of an Electronic Document Management System (EDMS) and an Electronic Records Management System (ERMS). For reference to the definitions used by UDEQ, see <http://www.edocmagazine.com/print.asp?ID=29090>. The solution proposed must provide an open systems approach for a fully integrated ECMS that follows UDEQ standards whenever possible. Throughout this document, this described system will simply be referred to as an ECMS.

3.2 ECMS Repository Size

The number of pages expected to be added into the repository each year would remain somewhat stable due to the retention requirements for most of these documents. The repository (and supporting software) must provide for future growth and must be capable of housing documents from multiple agencies if desired.

3.3 Retrievals

The estimated number of pages that will be retrieved for internal on-screen display per day is unknown. It is expected that requests from a web browser will contain a combination of responses to established queries submitted by staff and the public for various documents.

The volume of printing on a daily basis is unknown, but is estimated to be minimal. The proposed ECMS solution must be capable of handling a reasonable volume of retrieval and printing from internal and external sources. The proposed ECMS solution must have fax-out capabilities or an interface with a fax-out application.

3.4 Access to the ECMS Records

Many files are public records open to the public for review with some restrictions. The restrictions on open access to records are provided in State and Federal rules. The ECMS system will be widely used, and it is important that legal and procedural access restrictions be scrupulously observed. There will be records stored on the system where user access must be restricted through the capabilities of the software to viewing or printing by a limited group of users. In some cases, a single user might be permitted access to selected records within a document. The proposed ECMS solution must be configurable to restrict access

to viewing and printing records and must maintain a log of access to selected folders, subfolders and documents.

3.5 Records Retention, Purging and Archiving

Electronic documents may be considered “original” documents for all purposes (replacing the paper document), which is the long-term objective of the project. For the next several years, however, the use of electronic documents will be phased in, and paper archiving will be maintained and used in parallel.

The purging, archiving and retention of various record series are controlled by approved records retention schedules and purging criteria. At the present time, electronic records are subject to the same retention periods as paper records because there are no separate Court Rules governing electronic records retention.

The ECMS software must also be capable of archiving documents (moving documents to off-line storage) in response to a trigger generated by an external system.

3.6 Workflow

The ECMS implementation shall include electronic workflow routing for all document types. The ultimate goal of implementing workflow using electronic documents is to stop moving paper within the agency. This paper will be imaged and then sent to file room or records retention. Digital files may be sent to outside requestors via email and must not require their access to the ECMS system to view or print these files. The documents used for processing will be routed to the appropriate staff through electronic queues. Supervisors must be able to re-route or send copies of documents to other users on an as needed basis. It is desirable to maintain a log of actions that have been taken on a document (the routing sequence, notes about problems in processing a document, people who need to review the document and other annotations).

The ECMS solution must meet the mandatory technical specifications as stated in TABLES 5.1 and 5.2. The proposed ECMS workflow solution must be suitable for workflow applications as described in this RFP.

4.0 SCOPE OF WORK FOR CONSULTING SERVICES

4.1 ECMS User Population

UDEQ will initiate this system in phases. We anticipate that two divisions (DRC & DDW) will start implementation in the first phase. The other divisions will be phased in, as they are ready.

Table 4.1 - Anticipated Phases

Phase	Action	Proposed Schedule
1	Installation of hardware, software, servers, SAN, workstations, configuration of database servers, and setting up Oracle	First 30 days
2	Begin implementation, integration and training of ECMS solutions into DDW and DRC	Next 120 days
3	Implementation, integration and training of Department wide administrative programs	Next 120 days
4	Implementation, integration and training into other divisions	Next 6 months
5	Implementation, integration and training of remote locations and District Engineers	Next 120 days
6	Implementation and integration for Public	Next 120 days

Eventually, in later phases of the ECMS implementation, all divisions will have access to the system. Web access will be available. Users will include members of the Public, and staff of state and local agencies. It is not mandatory that all of the later phases occur sequentially.

The contractor must determine the types of software needed to meet the requirements of this RFP. Such software packages may include, but are not limited to, document repository, database management, end user repository access, workflow, image capture, printing, management reporting, fax, and any other software required to meet the technical specifications for the ECMS stated in TABLES 5.1, 5.2 and elsewhere in this RFP. It is possible for the Contractor to propose an enterprise wide licensing scheme and price to include unlimited users of the ECMS, including Internet access in the future.

4.2 User Training

UDEQ assumes that there will be three types of training: Administration, Divisional Experts and End-User. Pricing should be broken out for each type. Descriptions of each type with the proposed solutions must be specified in the proposal.

Training for the administrator of the system(s) may be proposed on-site or offsite. Specific details must be in the proposal.

The proposal should specify how the divisional expert training (a.k.a. train-the-trainer) would occur. This training may be proposed as on-site or off-site. Responders may propose both methods for UDEQ to choose from.

The Contractor must provide end-user training for UDEQ staff during the phase in process. The successful contractor should assume all end-user training would occur in the UDEQ training room. Any variance from this should be noted in the proposal.

The proposal should also specify other training opportunities available such as on-going classes, conferences, user groups (local and national), etc.

5.0 SOFTWARE TECHNICAL SPECIFICATION

Table 5.1 lists requirements for the ECMS system. Instructions for annotating the right hand columns of Table 5.1 and submitting it as part of your proposal are provided below. Table 5.2 provides additional questions to explain how your solution meets the technical specifications. Tables 5.1 and 5.2 must be included in the proposals.

Key:

CR = Current Release,
C = Customizable,
3rd = 3 rd Party Integration,
N = Not in Roadmap

Table 5.1 – ECMS Functionality Requirements

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
User Interface					
1.1) The system shall provide both a web-enabled interface (thin client) and user access interface (thick client).					
1.2) Web interface must support both Netscape and Internet Explorer.					
1.3) Client functionality is determined through user role, enabling certain client functions to be turned on or off depending on user role.					
1.4) The web interface shall provide multiple views of the content according to user preference and IT permission sets.					
1.5) The system must enable a user, using any Microsoft-based authoring tool, to save their work directly into the repository from within the Microsoft application interface. The user must also be able to profile the content while saving the file into the repository.					
1.6) The system shall provide the standard file hierarchy structure of folders and sub-folders (analogous with Windows) to allow users and groups of users to manage and organize their documents. State (in remarks) any limitations to the number of folder, subfolder levels.					
1.7) System needs to be capable of assembling and/or binding the linked document to specific versions regardless of the current version status of the original document.					
1.8) Content import is possible through drag 'n drop.					
1.9) Provide support for unlimited file formats.					
1.10) The system integrates with and complements Novell GroupWise.					
1.11) Novell GroupWise users can save email items and their associated attachments into the repository.					
1.12) Notifications or events that have taken place in the content management system and/or process tasks can be accessed via Novell GroupWise email if required.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
1.13) System must allow users to create a cabinet/folder hierarchy of their own design, and place content into more than one location, for ease-of-use. It must allow users to do a “where used” search, and locate all instances of a piece of content, so they may change (version) all instances from a single point, or select those to version, leaving others unchanged.					
1.14) The security model must allow for separation of access rights to content from access rights to annotations. The product must allow ability to seamlessly view content in its native form using a built-in viewer.					
1.15) Shall support document creation from templates stored in the repository.					
1.16) When editing, the document must be checked-out from the repository (locked) preventing other users from making changes at the same time.					
1.17) Users must be able to continue viewing the document when a document is checked out. The GUI must provide a visible symbol indicating the checkout and an attribute to indicate who checked out the document.					
1.18) The system must support a configurable session timeout, which forces a user to log back in after a period of time to ensure security. This shall be accomplished without losing user’s work.					
1.19) Shall provide offline capabilities allowing users to work offline and then synchronize their edited or newly created documents with the repository. The offline client shall provide out-of-the-box conflict resolution options to assist users to resolve conflicts during synchronization.					
1.20) Has the capability to have raw data from a text file displayed on a form/template. The form/template is stored separately from the data file.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
Architecture					
2.1) Section 508: Section 508 Requirements: All electronic and information technology procured must meet the applicable accessibility standards at 36 CFR 1194, unless an agency exception to this requirement exists. 36 CFR 1194 implements Section 508 of the Rehabilitation Act of 1973, as amended, and is viewable at: http://www.access-board.gov/sec508/508standards.htm .					
2.2) Federal Records Management: The solution must be capable of complying with the Federal Records Act and implement electronic records management regulations found in 36 Code of Federal Regulations, Part 1234, and the National Archives and Records Administration (NARA) endorsed DoD 5015.2 STD.					
2.3) Management of Physical Records: Proposed system must include the capability (or through an integrated optional module) to manage both electronic and non-electronic (paper, film, fiche, any other media) corporate records in a single user-interface. The owner may chose not to initially convert paper, film, fiche, or other media to electronic format right away, but does require the management of assets in a single system, and allow the system to record the conversion from physical media to electronic media if and when that does occur.					
2.4) Storage Media: The proposed system must be flexible in the types of media storage systems supported. Because the volume of managed objects can grow very large, the proposed system must be capable of storing assets (managed objects) on near line hard disk storage, Network Attached Storage devices, and/or Storage Area Networks. For records that must be kept forever, the proposed system must support immutable media types, such as optical or CAS (Content Addressable Storage) systems.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
2.5) Media Management: In addition to supporting a wide variety of storage media, the system must include the capability to allow the system manager to physically move objects from one media type to another. For example, if the near line hard disk storage begins to get full, the manager can move the managed objects to the NAS or SAN. Once moved, the end user browsing or searching for the object(s) continues to access them regardless of where they physically exist. The end user may not even notice the object was physically moved.					
2.6) Automatic Media Management: The proposed system must include aging tools so that objects can automatically move from one physical media to another based on rules set by the system manager. For example, when an object (image, document, video file, word document, etc) on near line storage has not been accessed in a long time, it might automatically be moved to a bigger, slower, and less expensive form of storage.					
2.7) Must provide a common integrated repository to handle all types of enterprise content management, including documents, web content, digital assets, collaborative content, document images, records etc.					
2.8) System must provide an open API set across all Content Management services, i.e. workflow, lifecycles, library services, with support for industry standard development languages such as java, jsp, com, asp and visual development tools like Visual Studio					
2.9) System must provide our developers a centralized facility for managing custom applications, including all lifecycles, workflows, permissions and procedures in such a way that these component parts are available for reuse in additional applications.					
2.10) System must provide the ability for content files to be stored in standard file systems and meta data in industry standard RDBMS. (Oracle is the UDEQ preferred RDBMS.)					
2.11) Must have built-in fault tolerance, load balancing and high availability.					
2.12) Must support distributed repositories (architecture) allowing the system to be configured such that access by users to these repositories is transparent and navigation intuitive.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
2.13) System must be built on an open and industry standard architecture. Must provide a comprehensive API (Application Program Interface) or SDK (Software Development's Kit) to allow interfacing and integration with existing systems. List the standards adopted					
2.14) The system shall have the capability to manage pervasive information types and process rich media format information (audio, video), common formats (PDF, Word, PowerPoint etc) and electronic records.					
2.15) Ability to create new document types and user-definable attributes associated with all document types (documents, digital assets, web content etc). GUI tools should be provided to facilitate this activity and the system should be able to inherit all attributes of the parent document type without requiring the user to repeat specification attributes.					
2.16) Must have out-of-the-box adobe forms integration capability.					
2.17) System must allow administrators to set retention schedules by content object type, so that we can retire a document when it is at end of life, by either notification and manual action, or by automatic movement or deletion.					
2.18) The system must provide generic methods of integration to support the management and storage of objects other than Microsoft Office and standard images formats, such as JPG and GIF					
Image Capture / Scanning					
3.1) The capture product must support scanner/copier and fax input.					
3.2) The capture product is able to handle volumes ranging from workgroup (10-100 pages a day) to bulk production capture (5,000-10,000 a day).					
3.3) The capture product must be able to support centralized and distributed capture environments.					
3.4) The capture product must provide image clean-up capabilities (deskew, noise reduction, etc.).					
3.5) The capture system must be able to handle multiple pages and double-sided documents.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
3.6) The capture product must provide a variety of recognition capabilities including patch codes, barcodes (including 2D), check boxes (Optical Mark Recognition), OCR (Optical Character Recognition), and hand print (Intelligent Character Recognition).					
3.7) The capture product must enable users to index manually (key from image) and automatically through the use of OCR (Optical Character Recognition) technology and templates.					
3.8) The capture product must export images and index information to a document management repository.					
3.9) The capture product must support export images in a variety of file formats, including PDF, PDF with hidden text and TIFF.					
3.10) Upon export, the capture product must be able to trigger processes.					
3.11) Upon export, the capture product must be able to attach lifecycles.					
3.12) Upon export, the capture product must be able to assign the correct security profile.					
3.13) Upon export, the capture product must be able to export images to the correct folder location and create a folder if necessary.					
3.14) Upon export, the capture product must be able to transform index information into the document management attributes.					
Versioning					
4.1) Must provide a version control facility to maintain version integrity throughout the lifecycle of the document					
4.2) Must be able to provide major (e.g. 1.0, 2.0), minor (e.g. 1.1, 1.2) and branch version (e.g. 1.0.1, 2.1.0.1) control. A "reason for change" comments entry and version label entry must also be provided.					
4.3) Depending on access rights, users can choose to overwrite the current version or select a major or minor version increase.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
4.4) System must provide an access control model that allows users to dictate that other users who modify a particular document can never override the current version but must, by default, increment to the next version, minor or major.					
4.5) Every document version must be able to have its own individual access control rights and metadata values that can be changed without affecting other versions of the same document.					
4.6) Capability to version metadata associated with documents must also be provided.					
4.7) System must be able to create a document from reusable content objects, using a simple drag-and-drop interface, via web browser or desktop client. Ideally, system must be able to “bind” certain components of the compound document to a specific version, while allowing others to “float” to the current version, for data integrity purposes. System must allow management, including versioning and workflow, of the compound document as an individual entity.					
4.8) System must be capable of creating renditions (same content rendered to different formats, i.e. PDF, HTML) automatically, and storing them as related files for ease of administration.					
4.9) System must provide capability to archive older versions of the documents.					
Process Automation / Workflow					
5.1) Work Queues: System must support work queues, where users who are assigned to see and process the work in that queue by pulling from the queue in priority order. Different queues can be configured for different tasks, and each queue must contain it's own policies, such as Threshold (what to do when the number of tasks in the queue is high), Age (what to do when any item in the queue gets too old), and Priority (how to determine which items are more important than others).					
5.2) System must provide a single integrated graphical workflow tool that requires no coding or scripting. Must also provide sequential and parallel review capability as well as nested workflows.					
5.3) Process management support – the solution must allow for the automation of a range of processes. This must be offered as a base and standard product.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
5.4) Both a web-based and thick client process GUI shall be provided as standard to allow users to select their preferred interface to design processes.					
5.5) Provide GUI tools to construct the automation of the complete lifecycle of documents in managing policies associated with each lifecycle stage, attributes, access control, document ownership, document format transformation, folder linking, etc.					
5.6) The above feature should not require scripting or coding.					
5.7) The process system shall support features such as conditional routing, serial, parallel, and interactive process flows. The system shall also provide deadline notifications.					
5.8) Notification of process tasks can be sent to the GroupWise email system. Users must be able to access the process tasks via their email inbox.					
5.9) Reviewers can add comments and notes for the subsequent recipients as required.					
5.10) Automatically promote the document status in its lifecycle depending on actions taken in the process.					
5.11) Support ad-hoc routing: Users shall be allowed to create simple serial and/or parallel processes on the fly using a web interface and without the requirement for the created process to be stored as a template.					
5.12) Process system shall include delegation and electronic signoff features.					
5.13) Must provide process-reporting capabilities and audit trails.					
5.14) System must allow for capabilities to re-work policies.					
5.15) There must be ability to associate tasks with users as well as groups and rules.					
5.16) Process system shall provide users with the capability to visually monitor and check the status of routed documents.					
5.17) System must have capabilities to process and store XML messaging.					
5.18) Workflow system must support triggers: Triggers are conditions that must be met before workflows can begin.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
5.19) Workflow system must support timers: A timer can make something happen (such as an automatic notification) if some task has not occurred within some period of time. Timers can send notifications, start new processes, delegate work to other users or tasks, or even complete or fail the work.					
Profiling					
6.1) The system must provide a comprehensive and flexible profiling system that allows for a maximum level of fields and format presentation customization.					
6.2) The system must provide automatic capture of the creation and last modification dates on the profile.					
6.3) The system provides the capability to perform auto-indexing of documents and auto-categorization.					
XML Support					
7.1) The system shall provide automated, configurable processing of XML documents during check-in. This processing involves validation, chunking, properties population, linked files import, security assignment and automated storage and the appropriate location.					
7.2) Functionality to provide “on the fly” assembly of XML documents from pre-defined queries or business rules					
7.3) Allow for a one to many relationship of style sheets to content, allowing for easy publishing of a single piece of content to multiple output formats and/or schemas.					
7.4) Must allow for Document Type Definitions (DTDs) to be stored into the repository and for XML documents to be automatically validated against the DTD during check-in.					
7.5) XML tag level searching shall be supported within the system.					
7.6) Shall provide capabilities to generate PDF documents from XML documents.					
7.7) Shall provide built-in mechanisms to dynamically generate XML documents based on XML querying.					
Retrieval/Search Facilities					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
8.1) System must offer a single integrated search engine, capable of locating content for use/reuse across multiple, distributed repositories, incorporating full text searching and metadata searching.					
8.2) Content in the repository can be indexed by object properties and/or full text.					
8.3) Users can search for content via selection of properties and/or words, phrases, sounds like strings, proximity search, thesaurus search, etc.					
8.4) Search facilities are provided in both client/server and web interfaces including portlets.					
8.5) Users can save queries for reuse or sharing as required. These can be accessed as objects in the repository and run from either the Windows Explorer or web interface.					
8.6) The system shall return the current document version by default unless otherwise requested.					
8.7) When performing a full text search, the system shall provide ranking details against the list of documents returned.					
8.8) Indexing and retrieval based on metadata must be provided for all file formats and document types.					
8.9) Search must be able to be conducted across folders and distributed repositories as a standard feature.					
Federated Search					
9.1) Must provide a graphical query monitor for end users.					
9.2) Must provide the ability to save end user queries.					
9.3) Must provide the ability for end users to schedule when and how often a query should run.					
9.4) System must support industry standard search operators and translate them on-the-fly for any specific repository as needed.					
9.5) End user interface should allow users to choose what information source to include in search.					
9.6) System must provide open standards based adapter framework for connecting to information sources.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
9.7) System must provide a graphical and non-proprietary development environment for creation of adapters to information sources.					
Security and Auditing					
10.1) If documents are secured, the presence of documents should not be visible when a user without access rights undertakes any searches on the document store.					
10.2) Security definable at each of the cabinets, folders, subfolders, document and process level, document components etc.					
10.3) Must also provide support for role-based security.					
10.4) Must allow or deny users from changing document security.					
10.5) Ability to authenticate users using standard credentials and/or advanced means of authentication leveraging industry leading authentication and single sign on frameworks.					
10.6) Provide capabilities to encrypt communication between the system and user's computer through standard web encryption (SSL) Encryption algorithm used must be based on the Advanced Encryption Standard (AES).					
10.7) Ability to authenticate user against LDAP (Lightweight Directory Access Protocol) directory services.					
10.8) Must provide ability to capture all operations on documents in an audit trail.					
10.9) Audit trail must contain information such as event performed on document, user who performed the action, and date time stamp.					
10.10) Audit system shall be capable to be queried and reports generated.					
10.11) Audit system must have the capability to audit the following: <ul style="list-style-type: none"> • All occurrences of a particular event on a given object or given object type • All occurrences of a particular event in the repository, regardless of the object to which it occurs • All process-related events • All occurrences of a particular process event for all processes started from a given process definition • All executions of a particular job 					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
10.12) Encryption – Trusted Content <ul style="list-style-type: none"> Encryption of the repository: support encryption of content stored on the file system Selective encryption for each file store. Combination of encrypted and unencrypted file stores must be supported Encryption – Key length must be at least 192 bits. Please state algorithm used. 					
10.13) System must be capable to capture and securely store electronic signatures associate with any content or process step.					
Administrator Tools					
11.1) System must provide web-based administration tool and provide a single point of access for managing and administering all repositories, servers, users and groups regardless of their location across the enterprise.					
11.2) Provides ability to log and audit system events, such as file access, deletions and process activities, for reporting, analysis and compliance purposes.					
11.3) Shall provide system administrators the ability to define and schedule jobs for monitoring and maintenance of the content management system and its repository.					
11.4) Shall allow the definition of sub system administrators such that only certain administrative functions are assigned to different users or groups of users.					
Application Development					
12.1) Developers can reuse application elements (such as user interface components, lifecycle definitions, security settings, object type definitions and process templates) thus dramatically speeding time to deployment.					
12.2) Includes a robust data dictionary and graphical editor for defining and configuring display properties and attributes.					
12.3) Natively supports HTTP, LDAP and SSL standards in addition to XML.					
12.4) Must allow out-of-the-box web interface to be easily configurable and customizable. The configuration and customization must not entail the use of proprietary scripting languages and technology.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
12.5) The support shall provide a mechanism to package all changes for migration from development and test environments and deploy them to production environments. This packaging support must include customer types, associated permissions, processing rules, and all other changes that must occur on the production system to support the change.					
General Scalability Requirements					
13.1) Architecture shall provide provisions for scaling up (vertical scaling) and/or scaling out (horizontal scaling). System must have proven scalability to Billions of objects and thousands of users.					
13.2) Provide inherent load balancing between servers if clustering is employed.					
13.3) It should be possible for the architecture to allow for the following: - multiple data stores at local and remote locations - multiple synchronized DMS libraries					
13.4) Multi-threaded architecture.					
13.5) Must provide benchmark reports to indicate scalability of solution.					
Platform and Industry Standards					
14.1) Supported on UNIX, Linux and Windows platform. List OS supported.					
14.2) Provide out-of-the-box integration with market-leading application servers and portals. List the App Server and Portals supported.					
14.3) Provide support for J2EE technology, XML and Web Services.					
14.4) State the RDBMS's supported. Are the RDBMS's non-proprietary?					
Content Storage Optimization					
15.1) Provides a policy engine that can execute storage placement and migration policies to optimize storage, while reducing the content storage cost to the business and maintain accessibility and compliance needs as its value changes over time.					
15.2) Provides content storage policy creation and management tools through a unified, web-based administration client.					

Requirements	Functionality				Remarks
	CR	C	3 rd	N	
15.3) Provides policy-based content placement and migration capabilities across storage devices from a wide variety of storage vendors such as EMC, IBM, Hewlett Packard, Hitachi, and others.					
15.4) Provides content storage optimization audit trails and migration logs for detailed reporting and departmental chargeback capabilities.					
15.5) Automates content archival according to storage policies based on business value and information.					

Answer the questions in Table 5.2 to further explain how your ECMS solution meets the technical requirements. The following questions should be answered briefly but completely in free text.

Table 5.2 – ECMS Requirements (free text responses)

General Product Information	
1.1	What is the formal name, versions and release dates of all components of your system?
	Response:
1.2	How does your proposed system provide end-to-end document management?
	Response:
1.3	Describe how it supports the entire content lifecycle or creation, management, deployment/delivery and destruction.
	Response:
1.4	Describe the strategic direction of the systems future releases and timing.
	Response:
1.5	Describe the key strengths and differentiators of your proposed solution.
	Response:
1.6	Describe your user interfaces. Explain why they are easier to use than other products.
	Response:
Administration	
2.1	What are the capabilities for administration of the system?
	Response:
2.2	How does it provide web-based administration?
	Response:
2.3	Does your system provide for departmentalized administration?
	Response:
Content Contribution	
3.1	Describe the processes and methodologies for acquiring content into your proposed solution.
	Response:
3.2	What file types are supported by your system?

	Response:
3.3	Can your system use Oracle as its RDBMS. If not, what RDBMS do you support?
	Response:
3.4	Describe how metadata is assigned and stored in your system?
	Response:
3.5	Can your system create and exchange XML with other systems?
	Response:
Workflow	
4.1	What workflow capabilities does your system have? Does it support? <ul style="list-style-type: none"> • Multiple approvers and editors? • Parallel steps? • Nested workflows? • Iterative loop-backs?
	Response:
4.2	Describe who can define and manage workflows. What security is involved?
	Response:
4.3	Describe how workflows can be customized to meet the specific user needs.
	Response:
4.4	What kind of approval history is maintained? Can the history be used for tracking and auditing purposes? Describe.
	Response:
Library Services	
5.1	Does your solution support versioning?
	Response:
5.2	Describe how your system tracks versions? Does it support rollback? Explain.
	Response:
Searching	
6.1	Describe your systems native search capabilities.
	Response:

6.2	Does your system support metadata searches? Describe.
	Response:
6.3	Describe the indexing function of your system, including the time frames.
	Response:
Templates	
7.1	What role do templates play in your solution?
	Response:
7.2	What is a template composed of? What skills are needed to build a template?
	Response:
Integration	
8.1	How does your system support integration with other systems?
	Response:
8.2	Describe existing integrations with the following systems and tools, and how each is accomplished. Provide examples. Portal Platforms Databases Template Design Tools Personalization Engines
	Response:
8.3	Does your system provide an API Set? Describe.
	Response:
8.4	How is MS Office 2003 (and other versions) integration supported? Is a plug-in, .dll, add-on, required for support?
	Response:
Technical Requirements	
9.1	Provide a high level explanation of the architecture of your system.
	Response:
9.2	Provide the general system requirements supported by the proposed solution. (i.e. web server, O/S. application servers, database servers, user browser, etc.)
	Response:
9.3	Does your system require an application server? If so, which are supported?
	Response:

9.4	How does your proposed solution interface with the database? Does it have its own drivers or does it use common drivers such as ODBC and/or JDBC?
	Response:
9.5	Is your product based on J2EE standards? Explain.
	Response:
9.6	How does your solution achieve high scalability? Describe your approach to vertical scalability (i.e. number of CPU's vs. number of servers). Describe your approach to horizontal scalability (i.e. federated architecture).
	Response:
9.7	How does your system control access to various application and system resources?
	Response:
9.8	Does your system provide security down to the document level? Element? Explain.
	Response:
9.9	Does your system provide role-based security, user-based security or both?
	Response:
9.10	Please describe how the proposed system meets Section 508 requirements.
	Response:
9.11	Please describe how the proposed system meets the Federal Records Act and implements electronic records management regulation requirements. Provide the names of two customers using this functionality who would be willing to act as a reference.
	Response:
9.12	Describe how the proposed system manages physical and electronic records, and manages the conversion of physical to electronic records without disturbing the selected file plan for the object. Please provide the names of two customers who use this described functionality who may be willing to act as a reference for this functionality.
	Response:
9.13	Describe how the proposed system supports different media types, and include any common media types NOT supported in your product. Include two names of customers who use NAS, SAN, and Immutable media types who may be willing to act as a reference for this functionality.
	Response:

9.14	Include the names of two existing customers who manage their storage media that allows the system manager to physically move objects from one media type to another.
	Response:
9.15	Describe how automatic media management tools (i.e. aging tools that automatically move from one physical media to another based on rules set by the system manager) work in your environment. For example, when an object (image, document, video file, word document, etc) on near line storage has not been accessed in a long time, it might automatically be moved to a bigger, slower, and less expensive form of storage. Include the names of two existing customers who use this functionality and may act as references.
	Response:
9.16	Describe the key features of the object-oriented model architecture.
	Response:
Company Information	
10.1	Provide the details about your company (Name, year founded, name of owners, and name of managers that would be in charge of this project).
	Response:
10.2	Describe your implementation methodology.
	Response:
10.3	What role would your company play in the implementation? What expertise does your company provide in installing, configuring, testing, and administering the software in your solution?
	Response:
10.4	What is a typical implementation timeframe for an organization the size of UDEQ? Please describe individual events and timeframes for each.
	Response:
10.5	Where are your implementation resources located?
	Response:
Training and Documentation	
11.1	Describe the training program(s) offered by your company in the use of the software and hardware of your system. Include administration training, division expert training and end-user training.
	Response:
11.2	What are the training materials and documentation that is provided to your customers?
	Response:

11.3	What training is provided at the customer site?
	Response:
11.4	Will you be willing to customize the training to UDEQ's specific needs?
	Response:
Maintenance and Support	
12.1	Describe your available support/maintenance packages? Provide hours of support and type (web, email, phone, on-site).
	Response:
12.2	Do you have a user or developer community by which your customers can share experiences and lessons learned? Describe.
	Response:
12.3	How are product and service upgrades communicated? Delivered?
	Response:
12.4	What sources code, development tools, and documentation are included in the purchase of the products?
	Response:
12.5	For how long do you typically support older releases of the software?
	Response:
Investment	
13.1	Describe your licensing approach.
	Response:
13.2	What client, server, third party licenses are required to run the software?
	Response:
13.3	Describe any additional products/investments (hardware, software, consulting or other) that must be purchased to complete your approach.
	Response:

6.0 PROPOSAL RESPONSE FORMAT

All proposals must be organized and tabbed with labels for the following headings:

1. **RFP Form.** The State's Request for Proposal form completed and signed.
2. **Executive Summary.** The one or two page executive summary is to briefly describe the offeror's proposal. This summary should highlight the major features of the proposal. This section must specify if the response is for the software, consulting or both sections of the RFP. It must indicate any requirements that cannot be met by the offeror. The reader should be able to determine the essence of the proposal by reading the executive summary. Protected information requests should be identified in this section.
3. **Detailed Response.** This section should constitute the major portion of the proposal and must contain at least the following information:
 - A. A complete narrative of the offeror's assessment of the work to be performed, the offeror's ability and approach, and the resources necessary to fulfill the requirements. This should demonstrate the offeror's understanding of the desired overall performance expectations. Clearly indicate any customization needed to the proposed base product to meet the described needs as defined in this document.
 - B. A specific point-by-point response, in the order listed, to each requirement listed in the RFP. Please include the tables 5.1 and 5.2 with all questions answered that are appropriate for your proposal. Proposals offered with incomplete sections (based on software offer or consulting offer) may be deemed as non-responsive.
 - C. If the proposal is for consulting services, provide the resumes of all proposed project leaders, trainers and other major contributors to your solution. Proposal must list all business and sub-business partners. Describe the approach that is proposed for training and implementation.
4. **Cost Proposal.** Costs will be evaluated independently from the technical proposal. Please enumerate all costs on the attached Cost Proposal Form.

7.0 PROPOSAL EVALUATION CRITERIA

7.1 Evaluation of the software proposals

A committee will evaluate proposals against the following weighted criteria. Each area of the evaluation criteria must be addressed in detail in the proposal.

<u>WEIGHT</u>	<u>EVALUATION CRITERIA</u>
30 %	Cost of the project (software licensing, etc.)
55 %	Demonstrated ability to meet the scope of work as described in Tables 5.1 & 5.2. Demonstrates the ability to meet the needs of the State of Utah.
15 %	Demonstrated technical capability (proven track record of packages), etc.

7.2 Evaluation of the consulting proposals

A committee will evaluate proposals against the following weighted criteria. Each area of the evaluation criteria must be addressed in detail in the proposal.

<u>WEIGHT</u>	<u>EVALUATION CRITERIA</u>
30 %	Cost of the project (consulting services, training, other costs)
35 %	Demonstrated ability to meet the scope of work
15 %	Demonstrated technical capability (proven track record), etc.
10 %	Qualification and expertise of staff proposed for this project.
5 %	Performance references for similar projects.
5 %	Understanding of the UDEQ mission, purposes and business functions.

Cost Form for Software Proposals JG6902

Bidder Name: _____

1. **Products Offered** _____
2. **Repository Software:** Provide a price for the software licenses as described in Section 5 for the products identified in your technical offer. This price must also include the first year of maintenance and support fees. If multiple products are involved in the proposal, separate out each product with description, structure, and price. If licensing is based on other than per-seat, use this existing format with explanation notes.
Scenario 1: Licensing Fee with first year of Maintenance for 50 users \$ _____
Scenario 2: Licensing Fee with first year of Maintenance for 100 users \$ _____
Scenario 3: Licensing Fee with first year of Maintenance for 500 users \$ _____
Enterprise Licensing Fee with first year of maintenance included: \$ _____
3. **Repository Software:** Provide the pricing level from which the State will be purchasing along with and additional discount off of the level or schedule.
Pricing Level/Schedule _____ Additional Discount Percentage off the Pricing Level ____%
4. **Repository Software Maintenance and Support Fees:** Provide pricing for maintenance and support fees for the second through sixth year of product ownership for each licensing structure.
Scenario 1: Maintenance and Support Fees – Year 2 \$ _____
Scenario 1: Maintenance and Support Fees – Year 3 \$ _____
Scenario 1: Maintenance and Support Fees – Year 4 \$ _____
Scenario 1: Maintenance and Support Fees – Year 5 \$ _____
Scenario 1: Maintenance and Support Fees – Year 6 \$ _____

Scenario 2: Maintenance and Support Fees – Year 2 \$ _____
Scenario 2: Maintenance and Support Fees – Year 3 \$ _____
Scenario 2: Maintenance and Support Fees – Year 4 \$ _____
Scenario 2: Maintenance and Support Fees – Year 5 \$ _____
Scenario 2: Maintenance and Support Fees – Year 6 \$ _____

Scenario 3: Maintenance and Support Fees – Year 2 \$ _____
Scenario 3: Maintenance and Support Fees – Year 3 \$ _____
Scenario 3: Maintenance and Support Fees – Year 4 \$ _____
Scenario 3: Maintenance and Support Fees – Year 5 \$ _____
Scenario 3: Maintenance and Support Fees – Year 6 \$ _____

Enterprise License: Maintenance and Support Fees – Year 2 \$ _____
Enterprise License: Maintenance and Support Fees – Year 3 \$ _____
Enterprise License: Maintenance and Support Fees – Year 4 \$ _____
Enterprise License: Maintenance and Support Fees – Year 5 \$ _____
Enterprise License: Maintenance and Support Fees – Year 6 \$ _____
5. **Repository Software Maintenance and Support Fees:** Provide the pricing level from which the State will be purchasing along with and additional discount off of the level or schedule.
Pricing Level/Schedule _____ Additional Discount Percentage off the Pricing Level ____%
6. **Other Software:** If additional software is offered submit pricing in same format as in 1 to 5.

**Cost Form for Consulting Proposals
JG6902**

Bidder Name: _____

1. Proposed Product for Implementation: _____

2. List the name, job title, hourly rate and function for all proposed consultants:

Name: _____	Title: _____	\$ _____ / hour
	Function _____	Number of hours _____

Name: _____	Title: _____	\$ _____ / hour
	Function _____	Number of hours _____

Name: _____	Title: _____	\$ _____ / hour
	Function _____	Number of hours _____

Name: _____	Title: _____	\$ _____ / hour
	Function _____	Number of hours _____

Name: _____	Title: _____	\$ _____ / hour
	Function _____	Number of hours _____

Name: _____	Title: _____	\$ _____ / hour
	Function _____	Number of hours _____

3. Provide the training costs for any training that is recommended for employees, administrators and power users for the products and methodologies included in this offer. Break out the costs by employee and describe the proposed training solution. Specify if the rate is hourly, daily, etc.

Administration Training \$ _____ Describe:

Divisional Expert Training \$ _____ Describe:

End-User Training \$ _____ Describe:

4. Provide cost of other training and describe the type of training. \$ _____

5. Describe and break out all other costs involved with your proposal. \$ _____

6. Describe any customization that must be done to enhance the proposed system to satisfy the requirements as defined in this document. Include total cost for this customization. \$ _____

RFP Evaluation Score Sheet - Software

Document Management Implementation and consulting #JG6902 RFP EVALUATION SCORESHEET

Firm Name: _____

Evaluator: _____

Date: _____

Score will be assigned as follows:

- 0 = Failure, no response
- 1 = Poor, inadequate, fails to meet requirement
- 2 = Fair, only partially responsive
- 3 = Average, meets minimum requirement
- 4 = Above average, exceeds minimum requirement
- 5 = Superior

		Score (0-5)	Weight	Points
1. Scope of Work (55 points possible)		----	----	----
Functionality of Software	35 points possible		X 7	
Capability of proposed solution	20 points possible		X4	
2. Technical Capability		----	----	----
Demonstrated technical ability to complete the project	15 points possible		X 3	
3. Cost	30 points possible			
TOTAL EVALUATION POINTS	100 points possible		Total	

* Purchasing will use the following cost formula: The points assigned to each offerors cost proposal will be based on the lowest proposal price. The offeror with the lowest Proposed Price will receive 100% of the price points. All other offerors will receive a portion of the total cost points based on what percentage higher their Proposed Price is than the Lowest Proposed Price. An offeror who's Proposed Price is more than double (200%) the Lowest Proposed Price will receive no points. The formula to compute the points is: Cost Points x (2- Proposed Price/Lowest Proposed Price).

RFP Evaluation Score Sheet - Consulting

Document Management Implementation and Consulting #JG6902 RFP EVALUATION SCORESHEET

Firm Name: _____

Evaluator: _____

Date: _____

Score will be assigned as follows:

- 0 = Failure, no response
- 1 = Poor, inadequate, fails to meet requirement
- 2 = Fair, only partially responsive
- 3 = Average, meets minimum requirement
- 4 = Above average, exceeds minimum requirement
- 5 = Superior

		Score (0-5)	Weight	Points
1. Scope of Work (35 points possible)		----	----	----
Functionality of Solution	15 points possible		X 3	
Capability of proposed solution	20 points possible		X4	
2. Examples and references of past work	5 points possible		X 1	
3. Understanding of agency mission	5 points possible		X 1	
4. Specific Staff Experience (10 points possible)		----	----	----
Expertise and experience of staff involved in project	5 points possible		X 1	
Direct experience of staff in similar project	5 points possible		X1	
5. Technical Capability		----	----	----
Demonstrated technical ability to complete the project	15 points possible		X 3	
6. Cost	30 points possible			
TOTAL EVALUATION POINTS	100 points possible		Total	

* Purchasing will use the following cost formula: The points assigned to each offerors cost proposal will be based on the lowest proposal price. The offeror with the lowest Proposed Price will receive 100% of the price points. All other offerors will receive a portion of the total cost points based on what percentage higher their Proposed Price is than the Lowest Proposed Price. An offeror who's Proposed Price is more than double (200%) the Lowest Proposed Price will receive no points. The formula to compute the points is: Cost Points x (2- Proposed Price/Lowest Proposed Price).